



PATENT  
Attorney Docket No. DPL-025

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE **RECEIVED**

DEC 27 2002

APPLICANT(S): Shu et al.  
SERIAL NO.: 10/025,115 GROUP NO.: 2131  
FILING DATE: December 19, 2001 EXAMINER: Not Yet Assigned  
TITLE: METHOD AND SYSTEM FOR SECURE EXCHANGE OF  
MESSAGES

Technology Center 2100

Commissioner for Patents  
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or

- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

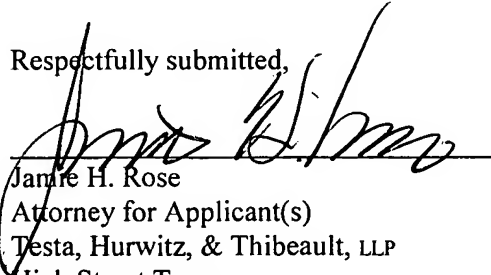
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that [check the appropriate space only if either (2) or (3) is checked on the previous page and the Statement is required]:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

  
Janire H. Rose  
Attorney for Applicant(s)  
Testa, Hurwitz, & Thibault, LLP  
High Street Tower  
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Boston, Massachusetts 02110

Date: December 19, 2002  
Reg. No. 45,054

Tel. No.: (617) 248-7376  
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SHEET 1 OF 1

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FORM PTO - 1449	ATTORNEY DOCKET NO.: DPL-025
SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT	APPLICANT(S): Shu et al.
	SERIAL NO.: 10/025,115
	FILING DATE: December 19, 2001
	GROUP: 2132

U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A37	5,412,654	5/2/95	Perkins			1/10/94
	A38	5,623,595	4/22/97	Bailey			9/26/94
	A39	5,699,503	12/16/97	Bolosky et al.			8/26/96
	A40	5,875,475	2/23/99	Kizu et al.			9/10/96

FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	WO 00/27086	5/11/00	PCT			10/29/99		Y
	B2	EP 0948176A2	10/6/99	EP			2/18/99		Y

OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C1	Cabrera et al., "Swift: Using Distributed Disk Striping to Provide High I/O Data Rates," <u>Computing Systems</u> , Vol. 4, No. 4, 1991, pp. 405-436.
	C2	Cohen, "Segmented Information Dispersal," <u>Dissertation University of California</u> , 1996, pp. 1-8, line 9.
	C3	Hsiao et al., "A Performance Study of Three High Availability Data Replication Strategies," <u>Proceedings of the International Conference on Parallel and Distributed Information Systems</u> , December 4, 1991, pp. 18-28.
	C4	Long et al., "Swift/RAID: A Distributed RAID System," <u>Computing Systems</u> , 1994, pp. 333-359.
	C5	Maxemchuk, "Dispersity Routing in High-Speed Networks," <u>Computer Networks and ISDN Systems</u> 25, 1993, pp. 645-661.
	C6	Rabin, "Efficient Dispersal of Information for Security, Load Balancing, and Fault Tolerance," <u>Journal of the Association for Computing Machinery</u> , Volume 36, No. 2, April 1989, pp. 335-348.
/	C7	Tsirigos et al., "Multipath Routing in Mobile Ad Hoc Networks or How to Route in the Presence of Frequent Topology Changes," <u>MILCOM 2001</u> , Oct. 29-31, Vienna, Virginia, USA, pp. 1-6.

EXAMINER	DATE CONSIDERED
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# TRANSMITTAL FORM

Application Serial Number	10/025,115
Filing Date	December 19, 2001
First Named Inventor	Shu et al.
Group Art Unit	2131
Examiner Name	Not Yet Assigned
Attorney Docket No.	DPL-025
BATCH NO. (after allowance)	Not applicable
Patent No.	Not applicable
Issue Date	Not applicable

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## ENCLOSURES (check all that apply)

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Check Attached<br><input type="checkbox"/> Copy of Fee Transmittal Form<br><br><input type="checkbox"/> Amendment/Response<br><input type="checkbox"/> Preliminary<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]<br><br><input type="checkbox"/> Petition for Extension of Time<br><br><input checked="" type="checkbox"/> Supplemental Information Disclosure Statement<br><input checked="" type="checkbox"/> Form PTO-1449<br><input checked="" type="checkbox"/> Copies of IDS Citations<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Sequence Listing submission<br><input checked="" type="checkbox"/> Paper Copy/CD<br><input type="checkbox"/> Computer Readable Copy<br><input type="checkbox"/> Statement verifying identity of above | <input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)<br><br><input type="checkbox"/> Formal Drawing(s)<br><br><input type="checkbox"/> Request For Continued Examination (RCE) Transmittal<br><br><input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application<br><br><input checked="" type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> CD(s) for large table or computer program<br><br><input type="checkbox"/> Amendment After Allowance<br><br><input type="checkbox"/> Request for Certificate of Correction<br><input type="checkbox"/> Certificate of Correction (in duplicate) | <input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences<br><br><input type="checkbox"/> Appeal Brief (in triplicate)<br><br><input type="checkbox"/> Status Inquiry<br><br><input checked="" type="checkbox"/> Return Receipt Postcard<br><br><input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8<br><br><input type="checkbox"/> Additional Enclosure(s) (please identify below) |
|--|---|---|

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## SIGNATURE BLOCK

Respectfully submitted,

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## STATEMENT REGARDING SMALL ENTITY STATUS



Attorney Docket No. DPL-025

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Applicant, Patentee, or Identifier: Shu et al.

Application or Patent No.: 10/025,115

Date Filed or Issued: December 19, 2001

Title: METHOD AND SYSTEM FOR SECURE EXCHANGE OF MESSAGES

NAME OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: Charles Stark Draper Laboratory.ADDRESS OF SMALL BUSINESS OR NONPROFIT ORGANIZATION: 555 Technology Square, Cambridge, MA 02139.

I hereby state that the above identified small business concern or nonprofit organization qualifies as a small entity as defined in 37 CFR 1.27 for purposes of paying reduced fees to the United States Patent and Trademark Office. For a small business concern, the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern or nonprofit organization identified above with regard to the invention described in:

- ☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern or nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must execute separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.27(a)(1) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.27(a)(2), or a nonprofit organization under 37 CFR 1.27(a)(3).

- ☒ No such person, concern, or organization having any rights in the invention exists.  
☐ Each such person, concern, or organization having any rights in the invention is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.

NAME OF PERSON SIGNING Joseph M. Wolfe, Jr.

TITLE OF PERSON SIGNING Vice President Finance and Administration

ADDRESS OF PERSON SIGNING 555 Technology Square, Cambridge, MA 02139

SIGNATURE

DATE

NOV 12 2002



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TITLE: METHOD AND SYSTEM FOR SECURE EXCHANGE OF  
MESSAGES

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, is/are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this 19<sup>th</sup> day of December, 2002.

  
Pamela Sousa-Atwood

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are:

1. Transmittal Form (1 page);
2. Statement Regarding Small Entity Status (1 page);
3. Supplemental Information Disclosure Statement (2 pages);
4. Form PTO-1449 (1 page);
5. Copies of references cited (A37-A40, B1-B2, C1-C7); and
6. Return Receipt Postcard.